



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s):	William S. Adney et al.	)	
Serial No.:	10/031,496	)	Art Unit: Not Yet Accorded
Filing Date:	January 14, 2002	)	Examiner: Not Yet Accorded
Γitle:	Cellobiohydrolase Gene and Improved Variants	)	Atty. Dkt. No.: NREL 99-45

## **CERTIFICATE OF MAILING UNDER 37 CFR § 1.8**

I hereby certify that the following attached items:

- (1) Information Disclosure Statement Under 37 CFR § 1.97(b) [2 pages]
- (2) PTO Form 1449 with copies of cited references
- (3) Postcard receipt

are being deposited in the United States Postal Service as first class mail, postage pre-paid, in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on the 28th day of June 2002.

Brenda E. Brantley

Senior Patent Administrator

National Renewable Energy Laboratory 1617 Cole Boulevard Golden, CO 80401 303/384-7572 303/384-4799 (fax)



#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s):	William S. Adney et al.	) Art Unit: Not Yet Accorded
Serial No.:	10/031,496	) Examiner: Not Yet Accorded
Filing Date:	January 14, 2002	)
	piohydrolase Gene and byed Variants	) Atty. Docket No.: 99-45

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.97(b)

Assistant Commissioner for Patents Box Patent Application Washington, DC 20231

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted before the mailing of a first office action of the above-identified application. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

That each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application.

In accordance with 37 C.F.R. § 1.98(a)(2), a copy of each document or other information listed on the enclosed Form 1449 is provided.

No representation is made that a reference is "prior art" within the meaning of 35 USC §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please charge any additional fees or credit any overpayment to Deposit Account No.: 14-0460.

Respectfully submitted,

Attorney for Applicants

Paul J. White, Reg. No. 30,435

Dated: ULX L

National Renewable Energy Laboratory 1617 Cole Boulevard Golden, CO 80401

303/384-7575

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Jan Konney (A)

Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet | of 2

Complete if Known				
Application Number	10/031,496			
Filing Dale	January 14, 2002			
First Named Inventor	William S. Adney			
Group Art Unit	Not Yet Accorded			
Examiner Name	Not yet Accorded			
Attorney Docket Number	NREL 99-45			

	U.S. PATENT DOCUMENTS								
Examiner	Cite No.'	U.S. Patent I Number	Kind Code <sup>2</sup>	Name of Patentee or Applicant of Cited Document	Dale of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear			
	1	4,472,504		Gallo	09/18/84				
	2	5,298,405		Nevalanen et al.	03/29/94				
	3	6,114,296		Schulein et al.	09/05/00				
		1							
					+				

	FOREIGN PATENT DOCUMENTS								
Examiner Cite		Foreign Patent Document Office <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (1f known)			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>	
	1	EP 0,133	,035	A2	Shin Nenryoyu Kaihatsu	02/13/85			
					Gijutsu Kenkyu Kumiai				
								Н	
								$\vdash$	
								Ш	
				+				$\vdash$	
								$\vdash$	

Examiner	Date	
Signature	Considered	

<sup>&#</sup>x27;Unique citation designation number <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.



<sup>•</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Of

NREL IR # 99-45

PTO/SB/08B (10-96)

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number,

Complete if Known Substitute for form 1449B/PTO **Application Number** 10/031,496 **INFORMATION DISCLOSURE** Filing Date January 14, 2002 STATEMENT BY APPLICANT First Named Inventor William S. Adney **Group Art Unit** Not Yet Accorded (use as many sheets as necessary) **Examiner Name** Not Yet Accorded

**Attorney Docket Number** 

Sheet

7			
		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite NO.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
.I	1	PCT International Search Report, PCT/US00/19007, 19 October 2000	
		2 1 Methadonal Sedich Report, 1 C 170300/19007, 19 October 2000	
			_
			4

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.



Examiner Date Signature Considered

<sup>•</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation it not in conformance and not considered. Include copy of this form with next communication to applicant.